

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Peebles, David E.	2. Court or Organization U.S. District Court - NYND	3. Date of Report 12/22/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge - Recall Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☒ Amended Report	
7. Chambers or Office Address U.S. District Court P.O. Box 7345 Syracuse, New York 13261-7345		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Founding Member	Albany Intellectual Property and Innovations American Inns of Court
2. Power of Attorney	██████████ (Mother)
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2020	Upstate Department of Medicine, Syracuse, New York - Salary
2. 2020	Self-Employed Expert Consultant (Physician)
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*☐NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Albany Intellectual Property and Innovations Americans Inns of Court	Honorary Membership (dues, like privileges)	\$400.00
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☐NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	The Student Loan Corp. (Navient)	Student Loans	J
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Charles Schwab IRA Rollover Acct. (H)									
2. - Schwab Premier Bank	A	Interest	M	T					
3. - Charles Schwab Bank	A	Interest	N	T					
4. - JP Morgan 100% Treas. Sec. Money Mkt (VHPXX)	A	Dividend			Buy	03/09/20	O		
5.					Sold	05/06/20	O	A	
6. - iShares Core U.S. Aggreg. Bond ETF (AGG)	B	Dividend			Buy	07/20/20	N		
7.					Sold (part)	09/09/20	M	A	
8.					Sold	12/09/20	M	A	
9. - Van Eck Vectors Fallen Angel High Yield Bond ETF (ANGL)	A	Dividend			Buy	12/10/20	M		
10.					Sold	12/14/20	M	A	
11. - Ark Genomic Revolution ETF (ARKG)	A	Dividend	K	T	Buy	12/17/20	K		
12. - Braddock Multi-Strategy Income Fund (BDKNX)	C	Dividend			Buy	01/03/20	N		
13.					Sold (part)	03/09/20	M	A	
14.					Sold	03/11/20	M	B	
15. - Vanguard Intermediate Term Bond ETF (BIV)	C	Dividend	M	T	Buy	07/20/20	N		
16.					Sold (part)	09/09/20	M	A	
17.					Sold (part)	12/09/20	M	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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18. - Diamond Hill Short Duration Total Return Fund (DHEIX)	C	Dividend			Buy	01/16/20	N		
19.					Sold (part)	03/09/20	M	A	
20.					Sold	03/11/20	N	A	
21. - iShares MSCI Emerging Markets ETF (EEM)	A	Dividend	L	T	Buy	12/10/20	L		
22. - First Trust Opportunistic Fixed Income ETF (FIXD)	B	Dividend	M	T	Buy	07/22/20	N		
23.					Sold (part)	09/09/20	M	A	
24. - American Funds U.S. Govt. Sec. Fund (GVTFX)	A	Dividend			Buy	04/27/20	N		
25.					Sold	08/06/20	N	C	
26. -Van Eck Vectors High Yield Muni Bond ETF (HYD)	A	Dividend	M	T	Buy	12/18/20	M		
27. - First Trust Tactical High Yield ETF (HYLS)	B	Dividend			Buy	05/27/20	M		
28.					Sold	09/29/20	M	B	
29. - iShares 3-7 Year Treasury Bond ETF (IEI)	C	Dividend	N	T	Buy	10/14/20	N		
30. - Alphacentric Income Opport. Fund (IOFIX)	B	Dividend			Buy	01/08/20	N		
31.					Sold	03/11/20	N	D	
32. - iShares Russell 2000 ETF (IWM)	A	Dividend	L	T	Buy	12/10/20	L		
33. - iShares Russell 2000 Value ETF (IWN)	A	Dividend	L	T	Buy	08/11/20	L		
34.					Buy (add'l)	11/03/20	M		

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35.				S	Buy (add'l)	12/10/20	L		
36.					Sold (part)	08/18/20	L	A	
37.					Sold (part)	11/18/20	L	D	
38. - iShares iBoxx Invest. Grade Bond ETF	A	Dividend			Buy	07/20/20	N		
39.					Sold	08/14/20	N	A	
40. - BlackRock Short Maturity Bond ETF (NEAR)	A	Dividend	M	T	Buy	12/10/20	M		
41. - Nuveen Short Duration High Yield Muni Bond Fund (NVHIX)	C	Dividend			Buy	02/19/20	K		
42.					Sold (part)	01/08/20	M	D	
43.					Sold	03/09/20	N	E	
44. - Invesco WilderHill Clean Energy ETF (PBW)	A	Dividend	K	T	Buy	12/17/20	K		
45. - Invesco QQQ ETF (QQQ)	A				Buy	05/11/20	M		
46.					Sold (part)	01/14/20	M	D	
47.					Sold (part)	02/20/20	M	E	
48.					Sold	05/13/20	M	A	
49. - iShares Edge MSCI USA Quality factor ETF (QUAL)	A	Dividend			Buy	05/28/20	M		
50.					Sold	05/28/20	M	D	
51. - Invesco S&P 500 Equal Weight ETF (RSP)	A	Dividend	L	T	Buy	08/07/20	L		

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52. - Proshares Short S&P 500 ETF (SH)	B	Dividend			Buy	03/06/20	M		
53.	C	Dividend			Buy (add'l)	03/12/20	L		
54.					Buy (add'l)	04/01/20	N		
55.					Buy (add'l)	05/04/20	L		
56.					Sold (part)	02/28/20	M	A	
57.					Sold (part)	03/10/20	M	D	
58.					Sold (part)	03/16/20	M	D	
59.					Sold (part)	05/21/20	M	A	
60.					Sold	05/28/20	M	A	
61. - iShares 1-3 Year Treasury Bond ETF (SHY)	D	Dividend			Sold (part)	01/02/20	N	C	
62.					Sold	01/16/20	N	A	
63. - SPDR Short Term High Yield Bond ETF (SJNK)	A	Dividend	M	T	Buy	12/10/20	M		
64. - iShares Silver Trust ETF (SLV)		None	L	T	Buy	12/17/20	L		
65. - SPDR Intermediate Term Corp. Bond ETF (SPIB)	C	Dividend	M	T	Buy	05/27/20	N		
66.					Sold (part)	09/24/20	M	C	
67. - SPDR S&P 500 ETF	D	Dividend			Buy	03/24/20	N		
68.					Sold	03/25/20	N	D	

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69. - SPDR Muni Bond ETF (TFI)	A	Dividend			Buy	05/27/20	K		
70.					Sold (part)	08/21/20	J	A	
71.					Sold	09/02/20	K	A	
72. iShare- s 20+ Year Treasury ETF	A	Dividend			Buy	10/14/20	M		
73.					Sold	11/03/20	M	A	
74. - SPDR Doublin Total Return Tactical ETF (TOTL)	B	Dividend			Buy	05/27/20	N		
75.					Sold	08/06/20	N	C	
76. - Vanguard Short Term Corp. Bond ETC (VCSH)	B	Dividend	N	T	Buy	09/02/20	N		
77. - Vanguard S&P 500 ETF	A	Dividend			Buy	09/16/20	L		
78.					Sold	11/18/20	L	C	
79. - Vanguard Short Term Inflation Protected Sec. Index ETF (VTIP)	C	Dividend	N	T	Buy	09/02/20	M		
80.					Buy (add'l)	12/10/20	N		
81. - Vanguard Target Retirement 2020 Fund (VTWNX)		None			Sold	03/13/20	K		
82. - Vanguard Wellesley Income (VWIAX)	C	Dividend			Sold (part)	02/19/20	K	D	
83.					Sold	03/13/20	N	C	
84. - SPDR Biotech ETF (XBI)	A	Dividend	L	T	Buy	12/17/20	L		
85. - SPDR Select Sector Industrials ETF	A	Dividend			Buy	08/11/20	L		

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86.	A	Dividend			Sold	09/24/20	L	A	
87. - ProShares Short Russell 2000 ETF (RWM)	C	Dividend			Sold	01/20/20	M	D	
88. - SPDR Gold Shares ETF (GLD)		None	L	T	Buy	07/22/20	L		
89.		None			Buy (add'l)	07/27/20	L		
90.		None			Sold (part)	02/24/20	L	D	
91.		None			Sold (part)	02/28/20	L	D	
92.		None			Sold (part)	03/17/20	K	C	
93.		None			Sold (part)	11/24/20	K	A	
94. Charles Schwab Inv. Acct. (H)									
95. - Charles Schwab Bank	A	Interest	K	T					
96. - Nokia Corp. (NOK)	A	Dividend	J	T					
97. - Cisco Systems (CSCO)	A	Dividend	J	T					
98. - Fidelity Selection Biotechnology Fund (FBIOX)	B	Dividend	K	T					
99. - SPDR Nuveen Bloomberg Barclays (HYMB)	A	Dividend	K	T	Buy	12/11/20	K		
100. - Intel Corp (INTC)	A	Dividend	K	T					
101. - Marsico Focus Fund (MFOCX)	B	Dividend	K	T					
102. - Vanguard 500 Index Admiral Fund (VFIAX)	B	Dividend	M	T					

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103. - Vanguard Growth Index Admiral Fund (VIGAX)	B	Dividend	K	T					
104. - Vanguard Value Index Admiral Fund (VVIAX)	B	Dividend	K	T					
105. - Walgreens Boots Alliance (WBA)	B	Dividend	K	T					
106. - SPDR Gold Shares ETF (GLD)		None	J	T					
107. Morgan Stanley Brokerage Acct. (H)									
108. - Morgan Stanley Private Bank NA	A	Interest	J	T					
109. - Verizon Communications (VZ)	A	Dividend			Sold	09/01/20	J	A	
110. - The Financial Sel Sect. SPDR FD (XLF)	A	Dividend			Sold	09/01/20	J	A	
111. Morgan Stanley IRA (H)									
112. - Public Storage (PSA.D)	A	Dividend	K	T	Buy	01/07/20	K		
113. - Nextera Energy Inc. (NEE)	A	Dividend			Sold	09/01/20	J	A	
114. - Merck & Co. New Com. (MRK)	A	Dividend			Sold	09/01/20	J	A	
115. - Ishares US Aerospace & DEF EFT (ITA)	A	Dividend			Sold	09/01/20	J	A	
116. - Home Depot Inc. (HD)	A	Dividend			Sold	09/01/20	J	A	
117. - Crown Castle Int'l Corp. (CCI)	A	Dividend			Sold	09/01/20	J	A	
118. - Anheuser Busch Inbev SA Spon (BUD)	A	Dividend			Sold	09/01/20	J	A	
119. - Amgen Inc. (AMGN)	A	Dividend			Sold	09/01/20	J	A	

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. - Bank of America Corp. (BAC-A)	A	Dividend	K	T					
121. - Metlife Inc. 5.62% NCUMPF D E (Met.E)	A	Dividend	J	T					
122. - Truist F. Corp. Dep Rp PFDH (TFC.H)	A	Dividend	K	T					
123. - Nextera Energy Capital Holdings 5.25% - K (NEE.K)	B	Dividend	K	T					
124. - Dominion Energy Inc. 5.25% (DRUA)	A	Dividend	K	T					
125. - DTE Energy Co. SER E 5.25% (DTW)	A	Dividend	K	T					
126. - Duke Energy Corp. 5.62% (DUKB)	B	Dividend	K	T					
127. - CMS Energy Corp. 5.875% (CMSC)	B	Dividend	K	T					
128. - MSIF Ultra-Short Income A Mutual Fund (MUAIX)		None			Sold	01/07/20	M	D	
129. FT-Preferred Secur. & Inc. ETF Preferential Rate	A	Dividend			Buy	01/07/20	K		
130.					Sold	10/12/20	K	B	
131. FT-Preferred Secur. & Inc. ETF (FPE)	A	Dividend	J	T	Buy	01/07/20	K		
132. - Prudential Financial Ins. 5.625% (PRS)	B	Dividend	K	T					
133. -AT&T inc. 5.625% (TBC)	B	Dividend	K	T					
134. Bank of America Bank Accounts	A	Interest	J	T					
135. Summit FCU Bank Accounts	A	Interest	J	T					
136. Solvay Bank Accounts	A	Interest	L	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. American Express Savings Acct.	B	Interest	M	T					
138. Marshe, LLC	A	Dividend	L	W					
139. Research Founda. of SUNY Retirem. Plan	E	Dividend	N	T					
140. NY 529 College Savings Program (Age Based) Aggressive Growth Portfolio	A	Dividend	J	T					
141. NY 529 College Savings Program (Age Based) Aggressive Growth Portfolio	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **David E. Peebles**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544